



PATENT

Case Docket No. SNAPA.024A

Date: February 21, 2003

2176  
#601  
BT  
3-5-03

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Thomas R. Ulrich, et al.

Appl. No. : 10/060,908

Filed : January 29, 2002

For : REPLACING FILE SYSTEM  
PROCESSORS BY HOT  
SWAPPING

Examiner : Unknown

Group Art Unit : 2176

) I hereby certify that this correspondence and all  
) marked attachments are being deposited with the  
) United States Postal Service as first class mail in  
) an envelope addressed to: United States Patent  
) and Trademark Office, P.O. Box 2327,  
) Arlington, VA 22202, on

2/21/03  
(Date)John R. King  
John R. King, Reg. No. 34,362

## TRANSMITTAL LETTER

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) A Supplemental Information Disclosure Statement.
- (X) A PTO Form 1449 with fifty six (56) references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

RECEIVED  
FEB 26 2003  
Technology Center 2100

John R. King  
John R. King  
Registration No. 34,362  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

SNAPA.024A



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Thomas R. Ulrich et al. ) Group Art Unit 2176  
App. No. : 10/060,908 )  
Filed : January 29, 2002 )  
For : REPLACING FILE SYSTEM )  
PROCESSORS BY HOT )  
SWAPPING )  
Examiner : Unknown )

RECEIVED  
FEB 26 2003  
Technology Center 2100

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

United States Patent and Trademark Office  
P.O. Box 2327  
Arlington, VA 22202

Dear Sir:

Enclosed is form PTO-1449 listing fifty six references that are also enclosed. This Supplemental Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required in accordance with 37 C.F.R. § 1.97(b)(3). If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 2/21/03

By: John R. King  
John R. King  
Registration No. 34,362  
Attorney of Record  
Customer No. 20,995  
(949) 760-0404

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
SNAPA.024AAPPLICATION NO.  
10/060,908INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Thomas R. Ulrich, et al.FILING DATE  
January 29, 2002GROUP  
2176

**RECEIVED**  
FEB 26 2003  
Technology Center 2100

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
	1	5,355,453	10/11/94	Row et al.			
	2	5,388,231	02/07/95	Starr			
	3	5,485,579	01/16/96	Hitz et al.			
	4	5,513,314	04/30/96	Kandasamy et al.			
	5	5,701,516	12/23/97	Cheng et al.			
	6	5,802,366	09/01/98	Row et al.			
	7	5,819,292	10/06/98	Hitz et al.			
	8	5,862,312	01/19/99	Mann et al.			
	9	5,941,969	08/24/99	Ram et al.			
	10	5,948,110	09/07/99	Hitz et al.			
	11	5,950,225	09/07/99	Kleiman			
	12	5,963,962	10/05/99	Hitz et al.			
	13	5,996,089	11/30/99	Mann et al.			
	14	6,029,168	02/22/00	Frey			
	15	6,038,570	03/14/00	Hitz et al.			
	16	6,065,037	05/16/00	Hitz et al.			
	17	6,081,883	06/27/00	Popelka et al.			
	18	6,119,244	09/12/00	Schoenthal et al.			
	19	6,148,414	11/14/00	Brown et al.			

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO

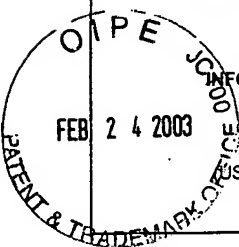
EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)							
	20	Microsoft Knowledge Base Article -222189; Description of Disk Groups in Windows Disk Management, pgs. 1-5.						
	21	The Network Appliance Enterprise Storage Architecture: System and Data Availability TR 3065 by Michael J. Marchi & Andy Watson, Network Appliance, Inc., pgs. 1-10.						

EXAMINER

DATE CONSIDERED

\*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)	ATTY. DOCKET NO. SNAPA.024A	APPLICATION NO. 10/060,908
	APPLICANT Thomas R. Ulrich, et al.	
	FILING DATE January 29, 2002	GROUP 2176



**RECEIVED**  
 FEB 26 2003  
 Technology Center 2100

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
22	SnapMirror and SnapRestore: Advances in Snapshot Technology by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-15.
23	SecureShare™: Guaranteed Multiprotocol File Locking by Keith Brown & Andrea Borr, Network Appliance, Inc., pgs. 1-17.
24	File System Security: Secure Network Data Sharing for NT and UNIX by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-12.
25	Data Protection Strategies for Network Appliance Filers by Jay Desai, Grant Melvin, David Yu, Mike Federwisch, Network Appliance, Inc., pgs. 1-32.
26	Multiple Volumes and Multiple RAID Groups on NetApp Filers by Karl L. Swartz, Network Appliance, Inc., pgs. 1-9.
27	Windows® 2000 and NetApp® Filers: An Overview TR 3113 by John Phillips, Network Appliance, Inc., pgs. 1-6.
28	Integrating NetApp® Filers with the Microsoft® Active Directory TR 3124 by John Phillips, Network Appliance, Inc., pgs. 1-10.
29	CIFS Authentication and Security TR3020 by Bridget Allison, Network Appliance, Inc., pgs. 1-7.
30	High Availability Storage Appliance TR 3127 by Jim Helfrich, Network Appliance Inc., pgs. 1-8.
31	SnapMirror and SnapRestore: Advances in Snapshot Technology TR 3043 by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-14.
32	Merging NT and UNIX Filesystem Permissions TR 1005 by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-13.
33	File System Design for an NFS File Server Appliance TR3002 by Dave Hitz, James Lau, & Michael Malcolm, Network Appliance, Inc., pgs. 1-10.
34	SecureShare™ Safe UNIX/Windows File Sharing through Multiprotocol Locking by Andrea Borr, pgs. 1-16.
35	Soft Updates: A Solution to the Metadata Update Problem in File Systems by Gregory R. Ganger, Marshall Kirk McKusick, Craig A. N. Soules and Yale N. Patt, pgs 1-27.
36	Soft Updates: A Technique for Eliminating Most Synchronous Writes in the Fast Filesystem by Marshall Kirk McKusick and Gregory R. Ganger, pgs. 1-18.
37	Journaling Versus Soft Updates: Asynchronous Meta-Data Protection In File Systems by Margo I. Seltzer, Gregory R. Ganger, M. Kirk McKusick, Keith A. Smith, Craig A. N. Soules, and Christopher A. Stein, pgs. 1-15.
38	Exploring SMB by Andrew Tridgell, May 8, 2000, pgs. 1-6.
39	Transactions and Recovery File Systems & Databases; Anupam Bhide, CalSoft Private Limited, 22 Gaurishankar, Shivaji Housing Society, Off Senapati Bapat Road PUNE, pgs. 1-24.
40	Storage Resource Management Requirements for Disk Storage by John Tyrrell, Mich Dutch and Steve Terwilliger, pgs. 1-26.
41	IBM StorageTank™, A Distributed Storage System by D.A. Pease, R.M. Rees, W.C. Hineman, D.L. Plantenberg, R.A. Becker-Szendy, R. Ananthanarayanan, M. Sivan-Zimet, C.J. Sullivan: IBM Almaden Research Center; R.C. Burns: Johns Hopkins University; D.D.E. Long: University of California, Santa Cruz, January 23, 2002, pgs. 1-7.
42	Storage Tank, Randal Burns; Storage Systems and Servers, IBM Almaden Research Center by Robert Rees, David Pease, Wayne Hineman, Michael Penner and Darrell Long, pgs. 1-44.
43	Storage Tank, IBM Almaden Research Center by Bob Rees, David Pease, Randal Burns and Jai Menon, pgs. 1-7.

EXAMINER	DATE CONSIDERED
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
SNAPA.024AAPPLICATION NO.  
10/060,908INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT  
Thomas R. Ulrich, et al.FILING DATE  
January 29, 2002GROUP  
2176

**RECEIVED**  
FEB 26 2003  
Technology Center 2100

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
	44 Semi-Preemptible Locks for a Distributed File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
	45 Scalable Session Locking for a Distributed File System by Randal C. Burns, Robert M. Rees, Larry J. Stockmeyer and Darrell D. E. Long, pgs. 1-25.
	46 Consistency and Locking for Distributing Updates to Web Servers Using a File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-7.
	47 Efficiently Distributing Data in a Web Server Farm by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-11.
	48 An Analytical Study of Opportunistic Lease Renewal by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
	49 Safe Caching in a Distributed File System for Network Attached Storage by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
	50 A Bit-Parallel Search Algorithm for Allocating Free Space by Randal Burns and Wayne Hineman, pgs. 1-9.
	51 Date Management in a Distributed File System for Storage Area Networks by Randal Chilton Burns, March 2000, pgs. 1-161.
	52 Common Internet File System (CIFS) Version: CIFS-Spec 0.9, Draft SNIA CIFS Work Group Work-in-Progress, Revision Date: 3/26/2001, pgs. 1-126.
	53 Serverless Network File Systems, Copyright © 1995 by Michael Donald Dahlin, pgs. 1-177.
	54 Solaris Internals, Core Kernel Components; Sun Microsystems Press, A Prentice Hall Title, by Jim Mauro and Richard McDougall, pgs. 1-116.
	55 Unix Internals, The New Frontiers by Uresh Vahalia, EMC Corporation, Hopkinton, MA, Prentice Hall, Upper Saddle River, New Jersey 07458, pgs. 1-151.
	56 NFS Illustrated, An Imprint of Addison Wesley Longman, Inc., by Brent Callaghan, pgs. 1-120.

H:\DOCS\KJL\KJL-1652.DOC  
021003

EXAMINER	DATE CONSIDERED
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>	